

12-28-01

A

12/21/01

Please type a plus sign (+) inside this box



PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No. 80398P486

First Inventor Thomas Patrick Dawson

Title Method and Apparatus for Providing Refractive Transparency in Selected

Express Mail Label No. EL837201665US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 13]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages 3]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i).
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: certificates of mailing by express mail.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____

Prior application Information: Examiner _____ Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number of Bar Code Label

08791

PATENT TRADEMARK OFFICE

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

(858) 457-0022

Fax

(858) 558-0754

Name (Print/Type) Robert P. Cogan

Registration No. (Attorney/Agent) 25,049

Signature

Date 12/21/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2000</h2> <p style="font-size: small; margin: 5px 0;">Patent fees are subject to annual revision</p>		Complete if Known	
TOTAL AMOUNT OF PAYMENT (\$) 780.00		Application Number Filing Date First Named Inventor Thomas Patrick Dawson Examiner Name Group/Art Unit Attorney Docket No. 80398P486	

<h3 style="text-align: center; margin: 0;">METHOD OF PAYMENT (check one)</h3> <p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number 02-2666</p> <p>Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee(s) Required Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20</p> <p><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p> <h3 style="text-align: center; margin: 0;">FEE CALCULATION</h3> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">BASIC FILING FEE</th> <th colspan="2"></th> <th colspan="2"></th> </tr> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td>101</td> <td>740</td> <td>201 370 Utility filing fee</td> <td>740.00</td> </tr> <tr> <td></td> <td></td> <td>106</td> <td>330</td> <td>206 165 Design filing fee</td> <td></td> </tr> <tr> <td></td> <td></td> <td>107</td> <td>510</td> <td>207 255 Plant filing fee</td> <td></td> </tr> <tr> <td></td> <td></td> <td>108</td> <td>740</td> <td>208 370 Reissue filing fee</td> <td></td> </tr> <tr> <td></td> <td></td> <td>114</td> <td>160</td> <td>214 80 Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (1)</td> <td colspan="2">(\$) 740.00</td> </tr> </tbody> </table> <p>2. EXTRA CLAIM FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>103</td> <td>203</td> <td>18</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>102</td> <td>202</td> <td>84</td> <td>42</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104</td> <td>204</td> <td>280</td> <td>140</td> <td>Multiple Dependent claim, if not paid</td> <td></td> </tr> <tr> <td>109</td> <td>209</td> <td>84</td> <td>42</td> <td>**Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110</td> <td>210</td> <td>18</td> <td>9</td> <td>**Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (2)</td> <td colspan="2">(\$) 0.00</td> </tr> </tbody> </table> <p style="font-size: x-small;">**or number previously paid, if greater, For Reissues, see below</p>	BASIC FILING FEE						Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid			101	740	201 370 Utility filing fee	740.00			106	330	206 165 Design filing fee				107	510	207 255 Plant filing fee				108	740	208 370 Reissue filing fee				114	160	214 80 Provisional filing fee		SUBTOTAL (1)				(\$) 740.00		Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid	103	203	18	9	Claims in excess of 20		102	202	84	42	Independent claims in excess of 3		104	204	280	140	Multiple Dependent claim, if not paid		109	209	84	42	**Reissue independent claims over original patent		110	210	18	9	**Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)				(\$) 0.00		<h3 style="text-align: center; margin: 0;">FEE CALCULATION (continued)</h3> <p>3. ADDITIONAL FEE</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>105</td> <td>205</td> <td>130</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>127</td> <td>227</td> <td>50</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>139</td> <td>239</td> <td>130</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>247</td> <td>2,520</td> <td>2,520</td> <td>For filing a request for <i>ex parte</i> reexamination</td> <td></td> </tr> <tr> <td>112</td> <td>212</td> <td>920*</td> <td>920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113</td> <td>213</td> <td>1,840*</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115</td> <td>215</td> <td>110</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116</td> <td>216</td> <td>400</td> <td>200</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117</td> <td>217</td> <td>920</td> <td>460</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118</td> <td>218</td> <td>1,440</td> <td>720</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>228</td> <td>1,960</td> <td>980</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119</td> <td>219</td> <td>320</td> <td>160</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>120</td> <td>220</td> <td>320</td> <td>160</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>221</td> <td>280</td> <td>140</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>138</td> <td>238</td> <td>1,510</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140</td> <td>240</td> <td>110</td> <td>55</td> <td>Petition to revive - unavoidable</td> <td></td> </tr> <tr> <td>141</td> <td>241</td> <td>1,280</td> <td>640</td> <td>Petition to revive - unintentional</td> <td></td> </tr> <tr> <td>142</td> <td>242</td> <td>1,280</td> <td>640</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143</td> <td>243</td> <td>460</td> <td>230</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>144</td> <td>244</td> <td>620</td> <td>310</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>122</td> <td>222</td> <td>130</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123</td> <td>223</td> <td>50</td> <td>50</td> <td>Processing fee under 37 CFR 1.17(q)</td> <td></td> </tr> <tr> <td>126</td> <td>226</td> <td>180</td> <td>180</td> <td>Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>581</td> <td>2581</td> <td>40</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td>40.00</td> </tr> <tr> <td>146</td> <td>246</td> <td>740</td> <td>370</td> <td>Filing a submission after final rejection (37 CFR § 1.129(a))</td> <td></td> </tr> <tr> <td>149</td> <td>249</td> <td>740</td> <td>370</td> <td>For each additional invention to be examined (37 CFR § 1.129(b))</td> <td></td> </tr> <tr> <td>179</td> <td>279</td> <td>740</td> <td>370</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td>169</td> <td>269</td> <td>900</td> <td>900</td> <td>Request for expedited examination of a design application</td> <td></td> </tr> <tr> <td colspan="5">Other fee (specify) _____</td> <td></td> </tr> <tr> <td colspan="5">Other fee (specify) _____</td> <td></td> </tr> <tr> <td colspan="5">* Reduced by Basic Filing Fee Paid</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (3)</td> <td colspan="2">(\$) 40.00</td> </tr> </tbody> </table>	Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid	105	205	130	65	Surcharge - late filing fee or oath		127	227	50	25	Surcharge - late provisional filing fee or cover sheet		139	239	130	130	Non-English specification		147	247	2,520	2,520	For filing a request for <i>ex parte</i> reexamination		112	212	920*	920*	Requesting publication of SIR prior to Examiner action		113	213	1,840*	1,840*	Requesting publication of SIR after Examiner action		115	215	110	55	Extension for reply within first month		116	216	400	200	Extension for reply within second month		117	217	920	460	Extension for reply within third month		118	218	1,440	720	Extension for reply within fourth month		128	228	1,960	980	Extension for reply within fifth month		119	219	320	160	Notice of Appeal		120	220	320	160	Filing a brief in support of an appeal		121	221	280	140	Request for oral hearing		138	238	1,510	1,510	Petition to institute a public use proceeding		140	240	110	55	Petition to revive - unavoidable		141	241	1,280	640	Petition to revive - unintentional		142	242	1,280	640	Utility issue fee (or reissue)		143	243	460	230	Design issue fee		144	244	620	310	Plant issue fee		122	222	130	130	Petitions to the Commissioner		123	223	50	50	Processing fee under 37 CFR 1.17(q)		126	226	180	180	Submission of Information Disclosure Stmt		581	2581	40	40	Recording each patent assignment per property (times number of properties)	40.00	146	246	740	370	Filing a submission after final rejection (37 CFR § 1.129(a))		149	249	740	370	For each additional invention to be examined (37 CFR § 1.129(b))		179	279	740	370	Request for Continued Examination (RCE)		169	269	900	900	Request for expedited examination of a design application		Other fee (specify) _____						Other fee (specify) _____						* Reduced by Basic Filing Fee Paid						SUBTOTAL (3)				(\$) 40.00	
BASIC FILING FEE																																																																																																																																																																																																																																																																																																	
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																																																												
		101	740	201 370 Utility filing fee	740.00																																																																																																																																																																																																																																																																																												
		106	330	206 165 Design filing fee																																																																																																																																																																																																																																																																																													
		107	510	207 255 Plant filing fee																																																																																																																																																																																																																																																																																													
		108	740	208 370 Reissue filing fee																																																																																																																																																																																																																																																																																													
		114	160	214 80 Provisional filing fee																																																																																																																																																																																																																																																																																													
SUBTOTAL (1)				(\$) 740.00																																																																																																																																																																																																																																																																																													
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																																																												
103	203	18	9	Claims in excess of 20																																																																																																																																																																																																																																																																																													
102	202	84	42	Independent claims in excess of 3																																																																																																																																																																																																																																																																																													
104	204	280	140	Multiple Dependent claim, if not paid																																																																																																																																																																																																																																																																																													
109	209	84	42	**Reissue independent claims over original patent																																																																																																																																																																																																																																																																																													
110	210	18	9	**Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																																																																																																													
SUBTOTAL (2)				(\$) 0.00																																																																																																																																																																																																																																																																																													
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																																																												
105	205	130	65	Surcharge - late filing fee or oath																																																																																																																																																																																																																																																																																													
127	227	50	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																																																																																																																													
139	239	130	130	Non-English specification																																																																																																																																																																																																																																																																																													
147	247	2,520	2,520	For filing a request for <i>ex parte</i> reexamination																																																																																																																																																																																																																																																																																													
112	212	920*	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																																																																																																													
113	213	1,840*	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																																																																																																																													
115	215	110	55	Extension for reply within first month																																																																																																																																																																																																																																																																																													
116	216	400	200	Extension for reply within second month																																																																																																																																																																																																																																																																																													
117	217	920	460	Extension for reply within third month																																																																																																																																																																																																																																																																																													
118	218	1,440	720	Extension for reply within fourth month																																																																																																																																																																																																																																																																																													
128	228	1,960	980	Extension for reply within fifth month																																																																																																																																																																																																																																																																																													
119	219	320	160	Notice of Appeal																																																																																																																																																																																																																																																																																													
120	220	320	160	Filing a brief in support of an appeal																																																																																																																																																																																																																																																																																													
121	221	280	140	Request for oral hearing																																																																																																																																																																																																																																																																																													
138	238	1,510	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																																																																																																													
140	240	110	55	Petition to revive - unavoidable																																																																																																																																																																																																																																																																																													
141	241	1,280	640	Petition to revive - unintentional																																																																																																																																																																																																																																																																																													
142	242	1,280	640	Utility issue fee (or reissue)																																																																																																																																																																																																																																																																																													
143	243	460	230	Design issue fee																																																																																																																																																																																																																																																																																													
144	244	620	310	Plant issue fee																																																																																																																																																																																																																																																																																													
122	222	130	130	Petitions to the Commissioner																																																																																																																																																																																																																																																																																													
123	223	50	50	Processing fee under 37 CFR 1.17(q)																																																																																																																																																																																																																																																																																													
126	226	180	180	Submission of Information Disclosure Stmt																																																																																																																																																																																																																																																																																													
581	2581	40	40	Recording each patent assignment per property (times number of properties)	40.00																																																																																																																																																																																																																																																																																												
146	246	740	370	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																																																																																																																													
149	249	740	370	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																																																																																																																													
179	279	740	370	Request for Continued Examination (RCE)																																																																																																																																																																																																																																																																																													
169	269	900	900	Request for expedited examination of a design application																																																																																																																																																																																																																																																																																													
Other fee (specify) _____																																																																																																																																																																																																																																																																																																	
Other fee (specify) _____																																																																																																																																																																																																																																																																																																	
* Reduced by Basic Filing Fee Paid																																																																																																																																																																																																																																																																																																	
SUBTOTAL (3)				(\$) 40.00																																																																																																																																																																																																																																																																																													

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type) Robert P. Cogan	Registration No. (Attorney/Agent) 25,049	Telephone (858) 457-0022	
Signature	Date 12/21/01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.